

FORM PTO-1390

U.S. Department of Commerce Patent and Trademark Office

Attorney's Docket No.

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

1751-394

U.S. Application No. (if known, see 37 CFR 1.5)

10/563,477

INTERNATIONAL APPLICATION NO.
PCT/KR2004/001651

INTERNATIONAL FILING DATE
July 5, 2004

PRIORITY DATE CLAIMED
July 5, 2003

TITLE OF INVENTION

ROTAXANE COMPOUND, ROTAXANE-BONDED SOLID
SUBSTRATE, AND BIOCHIP USING THE SAME

APPLICANT(S) FOR DO/EO/US

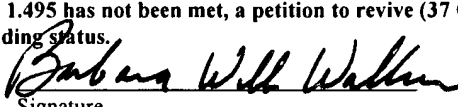
Kimoon KIM, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

ITEMS 11. TO 20. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification (with Preliminary Amendment).
16. ☐ A power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:
☐ RO/101 ☐ RO/105 ☐ ISA/210(ISR) ☐ ISA/220 ☐ ISA/237 ☐ IB/301 ☐ IB/304 ☐ IB/306
☐ IB/308 ☐ IB/332 ☐ IB/409(IPER) ☐ IPEA/416 ☐ Published Application WO 2005/003136 A1

U.S. APPLICATION NO. (If known, see 37 CFR 1.50) 10/563,477		INTERNATIONAL APPLICATION NO. PCT/KR2004/001651		ATTORNEY DOCKET NO. 1751-394	
The following fees are submitted: 21. <input type="checkbox"/> Basic National Fee\$300.00				\$	
22. <input type="checkbox"/> Examination Fee If International Preliminary Examination Report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1) - (4) \$100.00 All other situations..... \$200.00				\$	
23. <input type="checkbox"/> Search Fee Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100.00 International Search Report prepare and provided to the Office..... \$400.00 All other situations..... \$500.00				\$	
TOTAL OF 21,22 and 23=				\$	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or a fraction thereof.				\$	
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100=	/ 50		X 250.00		
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
Claims	Number Filed	Number Extra	Rate		
Total Claims	9-20 =	0	X \$50.00	\$	
Independent Claims	2- 3 =	0	X \$200.00	\$	
Multiple dependent claim(s) (if applicable)			+ \$360.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
TOTAL FEES ENCLOSED =				\$	
				Amount to be refunded	\$
				charged	\$
<p>a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. 02-2135 in the amount of \$___ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 02-2135. A duplicate copy of this sheet is enclosed.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO: Customer No. 6449</p> <div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 45%;"> <p>Barbara Webb Walker Rothwell, Figg, Ernst & Manbeck 1425 K St., N.W. Washington, D.C. 20005 Phone: 202/783-6040</p> </div> <div style="width: 45%; text-align: center;">  Signature <hr style="width: 100%;"/> Barbara Webb Walker Name <hr style="width: 100%;"/> 35,400 Registration Number </div> </div>					

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/563,477
Applicant : Kimoon KIM et al.
Filed : January 5, 2006
TC/A.U. :
Examiner :

Docket No. : 1751-394
Customer No. : 06449
Confirmation No. : 1349

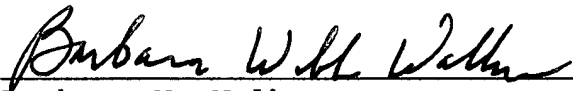
INFORMATION DISCLOSURE STATEMENT

Director of the United States Patent
and Trademark Office
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

Under the provisions of 37 C.F.R. §§ 1.56, 1.97 and 1.98,
Applicant submits herewith information that the Office may wish
to consider in examination of the subject application. Materials
submitted for consideration are listed on the attached form PTO-
1449.

Respectfully submitted,

By 
Barbara W. Walker
Attorney for Applicants
Registration No. 35,400
ROTHWELL, FIGG, ERNST & MANBECK, p.c.
Suite 800, 1425 K Street, N.W.
Washington, D.C. 20005
Telephone: (202) 783-6040

INFORMATION DISCLOSURE STATEMENT BY APPLICANT				<i>Complete if Known</i>	
				Application Number	10/563,477
				Filing Date	January 5, 2006
				First Named Inventor	Kimoon KIM et al.
				Group Art Unit	
				Examiner Name	
				Confirmation No.	1349
Sheet	1	of	2	Attorney Docket Number	1751-394

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T ⁶
		Office ³ Code	Number ⁴	Kind ⁵ (if known)			
		KR	1020020019325	A	POSCO POSTECH FOUNDATION	03-12-2002	Ab
		KR	1020030060053	A	POSTECH FOUNDATION	07-12-2003	Ab
		KR	1020030024426	A	POSTECH FOUNDATION	03-26-2003	Ab
		KR	1020030003901	A	POSTECH FOUNDATION	01-14-2003	Ab
		KR	1020010039662	A	POSTECH FOUNDATION	05-15-2001	Ab
Examiner Signature					Date Considered		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code. ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached. AB indicates that only an English language abstract is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT				<i>Complete if Known</i>	
				Application Number	10/563,477
				Filing Date	January 5, 2006
				First Named Inventor	Kimoon KIM et al.
				Group Art Unit	
				Examiner Name	
				Confirmation No.	1349
Sheet	2	of	2	Attorney Docket Number	1751-394

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		LEVICKY, R., et al., "Using Self-Assembly to Control the Structure of DNA Monolayers on Gold: A Neutron Reflectivity Study", J. Am. Chem. Soc. 1998, 120, pp. 9787-9792	
		PETERSON, A.W., ET AL., "Hybridization of Mismatched or Partially Matched DNA at Surfaces", 11/15/2002, JACS Articles, J. Am. Chem. Soc., 124, 14601-14607	
		HONG, B.J., et al., "Self-Assembly of a Dendron through Multiple Ionic Interaction to Give Mesospacing Between Reactive Amine Groups on the Surface", Langmuir, 2003, 19, pp. 2357-2365	
Examiner Signature			Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.